

OFFICE OF THE INSPECTOR GENERAL

 Smithsonian



Smithsonian Institution Building
(The Castle)

Strategic Plan Fiscal Years 2019 - 2023

STRATEGIC PLAN FRAMEWORK

Vision

The Office of the Inspector General’s vision is to provide the highest quality oversight through timely action, independent and objective reporting, and an overall commitment to excellence.

Mission

The Office of the Inspector General’s mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian Institution’s programs and operations through independent and objective audits and investigations and to keep stakeholders fully and currently informed.

Goal and Objectives

Goal	Objectives
Increase the Efficiency, Effectiveness, and Integrity of the Smithsonian Institution’s Programs and Operations	Deliver Timely, Relevant, and Quality Reports and Services
	Promote Organizational and Workforce Excellence

Core Values

Accountability	Excellence	Integrity	Teamwork
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Message from the Inspector General

I am pleased to present the Office of the Inspector General's Strategic Plan covering fiscal years 2019-2023. This strategic plan provides the roadmap to accomplish our mission for the next 5 years. The plan reflects the statutory authorities created in the Inspector General Act of 1978, as amended.

Strategic planning is the starting point and foundation for defining what an office seeks to accomplish, identifying the strategies it will use to achieve desired results, and then determining how well it succeeds in reaching results-oriented goals and achieving objectives. Developing a strategic plan can help clarify organizational priorities and unify staff in the pursuit of a shared goal — our goal is to increase the efficiency, effectiveness, and integrity of the Smithsonian Institution's (Smithsonian) programs and operations. This strategic plan discusses the objectives, strategies, and performance indicators that will guide our work.

As we implement this strategic plan, we recognize our critical role in protecting and preserving the Smithsonian's collections, assets, and resources. We focus on mitigating those challenges facing the Smithsonian through continued collaboration and cooperation with the Board of Regents, the Congress, the Smithsonian management and staff, and the public. Performance indicators outlined in this strategic plan will enable us to measure our success in assisting the Smithsonian to achieve its goals and in measuring our performance.

Finally, execution of this plan is not possible without the efforts of each member of my staff. They consistently demonstrate a commitment to achieving excellence in our teamwork and quality-of-life work environment. Together with our stakeholders, we will continue our efforts to facilitate positive change within the Smithsonian.



Cathy L. Helm
Inspector General
Smithsonian Institution

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Abbreviations

FY	Fiscal Years
OIG	Office of the Inspector General
Smithsonian	Smithsonian Institution

Smithsonian Institution Profile

In 1846, the Congress created the Smithsonian as a trust instrumentality of the United States to carry out the provisions of the will of James Smithson, an English scientist who left his estate to the United States to found “an establishment for the increase and diffusion of knowledge.”¹

Today, the Smithsonian consists of 19 museums, the National Zoological Park, 9 research centers, and other facilities around the world. The majority of Smithsonian locations are in Washington, D.C., but the Smithsonian also has facilities in 9 states (Arizona, Florida, Hawaii, Maryland, Massachusetts, New Jersey, New York, Pennsylvania, and Virginia), Belize, and Panama.

In fiscal year 2017, there were more than 30 million visits to the Smithsonian museums and the zoo. In addition, more than 150 million people visited the Smithsonian’s public websites. Additionally, the Smithsonian employs more than 6,700 staff (including about 3,900 federal employees) and has around 6,900 volunteers, 770 research fellows, and numerous interns and contractors at its various locations.

The Smithsonian is the steward of an extensive collection. The total number of artifacts, works of art, and specimens in the Smithsonian’s collections is estimated at 155 million, of which 146 million are scientific specimens at the National Museum of Natural History. The collections form the basis of world-renowned research, exhibitions, and public programs in the arts, culture, history, and the sciences. Only a small portion of the Smithsonian’s collections (estimated at less than 2 percent) is on display in the museums at any given time. The Smithsonian’s Affiliations Program brings its collections, scholarship, and exhibitions to most states, Panama, and Puerto Rico.

A substantial portion of the Smithsonian’s operations is funded by annual federal appropriations. Federal appropriations also are received for the construction or repair and restoration of its facilities. In addition to federal appropriations, the Smithsonian receives private support, government grants and contracts, and earns income from investments and its various business activities. Business activities include Smithsonian magazines, online catalogs, and theaters, shops, and food services that are located in its museums.

National Museum of the American Indian’s Water Feature

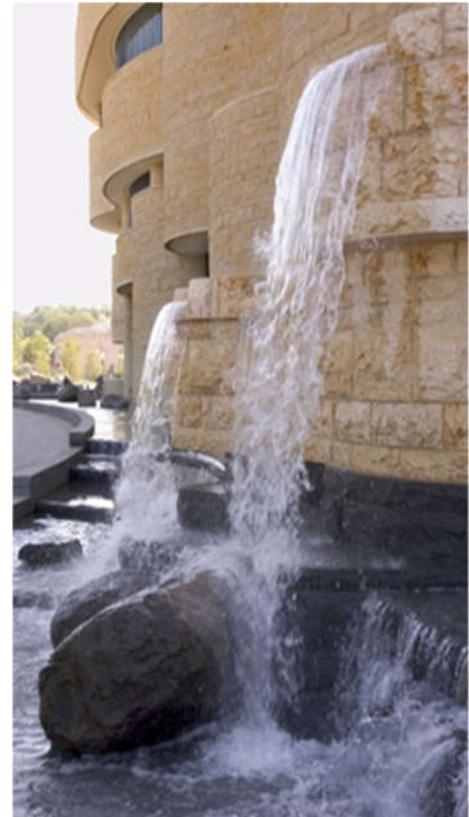


Photo: Katherine Fogden, Smithsonian.

¹ A trust instrumentality is a government agency or corporation that acts independently in carrying out work for the public good.

National Museum of African American History and Culture's Contemplative Court



Photo: Alan E. Karchmer.

Office of the Inspector General Profile

The Office of the Inspector General (OIG) is headed by an Inspector General, who is appointed by, reports to, and is under the general supervision of the Board of Regents. OIG is located in Washington, D.C. As of October 2018, OIG comprised 21 staff. In addition to the Inspector General, OIG consists of the Assistant Inspector General for Audits, the Assistant Inspector General for Investigations, Assistant Inspector General for Operations, Counsel to the Inspector General, 12 auditors, 2 criminal investigators, an investigator, and a mission support specialist.

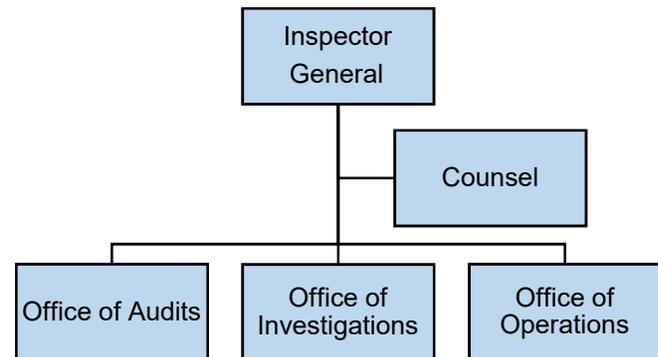
The OIG’s organizational structure is described below.

Audits

The Office of Audits conducts audits of the Smithsonian’s existing and proposed programs and operations to help improve their efficiency and effectiveness. The office develops a risk-based annual audit plan to guide its work. The Office of Audits also actively monitors the external audits of the Smithsonian’s financial statements.

Counsel

The Counsel to the Inspector General provides independent legal advice to the Inspector General and OIG staff.



Investigations

The Office of Investigations pursues allegations of waste, fraud, abuse, and gross mismanagement; misconduct by employees, contractors, or others who affect the Smithsonian; and criminal violations of law that have an impact on the Smithsonian’s programs and operations. It refers matters to federal, state, and local prosecutors for action whenever the Inspector General has reasonable grounds to believe there has been a violation of criminal law. The Office of Investigations also presents to management any administrative misconduct for possible disciplinary action.

Operations

The Office of Operations provides technical and administrative support. It is responsible for OIG administrative matters, such as budgeting, procurement, human resources, information technology, and measuring organizational performance.

Vision

OIG's vision is to provide the highest quality oversight through timely action, independent and objective reporting, and an overall commitment to excellence.

Mission

OIG's mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian's programs and operations through independent and objective audits and investigations and to keep stakeholders fully and currently informed.

Authority

The Inspector General Act of 1978, as amended in 1988 (P.L. 100-504), established the Smithsonian's OIG. The Act requires the Smithsonian OIG to

- conduct audits and investigations relating to Smithsonian's programs and operations;
- promote economy, efficiency, and effectiveness within the Smithsonian;
- review and make recommendations regarding existing and proposed programs and operations;
- prevent and detect waste, fraud, and abuse in Smithsonian's programs and operations;
- report expeditiously to the Attorney General whenever the Inspector General has reasonable grounds to believe there has been a violation of criminal law; and
- keep the Board of Regents and the Congress fully and currently informed of serious problems in Smithsonian's programs and operations.

Core Values

Consistent with its mission and responsibilities, OIG's efforts are guided by four core values. OIG's core values of accountability, excellence, integrity, and teamwork reflect the most important qualities needed for success and are reflected in all of the work done by OIG.

Accountability. A commitment to promoting accountability in the Smithsonian and taking personal accountability for actions and decisions within OIG.

Excellence. A commitment to providing timely, relevant, and high-quality products and services.

Integrity. A commitment to operating under the highest ethical principles by conducting our work in an honest, objective, and independent manner.

Teamwork. A commitment to working together to collectively achieve OIG's mission through respectful and professional interactions among ourselves and others.

Strategic Goal, Objectives, Strategies, and Performance Indicators

OIG's strategic goal is most closely aligned with Smithsonian's strategic goal to provide a nimble, cost-effective, and responsive administrative infrastructure.² OIG's goal is to improve efficiency, effectiveness, and integrity across the Smithsonian's programs and operations by conducting audits, investigations, and other work that provides stakeholders with accurate and objective information that is meaningful, relevant, and timely. The goal is further defined by two strategic objectives that OIG plans to accomplish and strategies that OIG will use to achieve them. To help OIG determine how well it is meeting the needs of the Smithsonian and the Congress, OIG will assess its performance based on the outcomes or results achieved from its work.

A number of internal and external factors could affect OIG's ability to achieve its strategic goal and objectives. An internal challenge is that all OIG managers and employees must commit to high standards inherent in the goals and objectives. In addition, a diligent commitment is required to continuously improve the efficiency and effectiveness of our work processes. External factors that could negatively affect OIG's ability to achieve its strategic goal include reductions to OIG's budget or a labor market that makes it difficult to hire or keep highly qualified staff.

Smithsonian Arts and Industries Building



Photo: Smithsonian.

² The Smithsonian has seven strategic goals. Smithsonian Institution, *Strategic Plan 2017-2022* (Washington, D.C., no date).

GOAL: Increase the Efficiency, Effectiveness, and Integrity of the Smithsonian's Programs and Operations

OIG seeks to improve efficiency, effectiveness, and integrity of the Smithsonian's programs and operations by conducting audits, investigations, and other work that provides stakeholders with accurate and objective information that is meaningful, relevant, and timely. OIG seeks to develop and maintain a highly skilled and engaged workforce to achieve the goal.

STRATEGIC OBJECTIVE 1.1. Deliver Timely, Relevant, and Quality Reports and Services

STRATEGIES

- Continuously improve the efficiency and effectiveness of audit and investigative processes.
- Deliver reports when they have the potential to make the most positive change.
- Make recommendations that are achievable, effective, and address root causes of problems.
- Cultivate and maintain relationships with stakeholders to increase effective and efficient communication about OIG's mission and work.
- Maintain a quality control framework to ensure compliance with professional standards.

PERFORMANCE INDICATORS

- Number of audit and investigative reports issued.
- Actions taken as a result of audits and investigations, such as reduced risk, cost savings, improved compliance, or greater efficiency.
- Ratings from external peer reviews of the Offices of Audits and Investigations.

STRATEGIC OBJECTIVE 1.2.

Promote Organizational and Workforce Excellence

STRATEGIES

- Hire, develop, and retain a diverse, highly skilled, and engaged workforce.
- Promote the most effective and efficient use of OIG resources.
- Enhance collaboration and communication within OIG and with the federal OIG community.

PERFORMANCE INDICATORS

- OIG workforce diversity compared to the relevant civilian workforce.
- Percentage of employees with professional certifications.
- Percentage of positive responses from OIG employees to an annual survey on employee attitudes and satisfaction.
- Percentage of employees actively engaged in federal OIG community activities.

OFFICE OF THE INSPECTOR GENERAL



OIG's Mission

Our mission is to promote the efficiency, effectiveness, and integrity of the Smithsonian Institution's programs and operations through independent and objective audits and investigations and to keep stakeholders fully and currently informed.

Reporting Fraud, Waste, and Abuse to OIG Hotline

OIG investigates allegations of waste, fraud, abuse, gross mismanagement, employee and contractor misconduct, and criminal and civil violations of law that have an impact on Smithsonian Institution programs and operations.

If requested, anonymity is assured to the extent permitted by law. Although you may remain anonymous, we encourage you to provide us with your contact information. The ability to gather additional information from you may be the key to effectively pursuing your allegation.

To report fraud and other serious problems, abuses, and deficiencies, you can do one of the following:

Call 202-252-0321.

Send an email to: oighotline@oig.si.edu.

Visit OIG's website: <https://www.si.edu/oig>.

Write to:
Office of the Inspector General
Smithsonian Institution
P.O. Box 37012, MRC 524
Washington, D.C. 20013-7012.

Obtaining Copies of Reports

To obtain copies of our reports, go to OIG's website: <https://www.si.edu/oig> or the Council of the Inspectors General's website: <https://oversight.gov>.